CHAPTER 1: DOWNLOADING THE ACR & PBP 2004 SOFTWARE FROM THE HPMS

IMPORTANT INFORMATION

ACRP 2004 and the Health Plan Management System

Medicare managed care organizations (MCO) will use the Health Plan Management System (HPMS) to electronically submit their Adjusted Community Rate Proposals (ACRP) for Contract Year (CY) 2004. These instructions provide guidance on using the HPMS to download and install the PBP and ACR software. Medicare MCOs can download these instructions from the HPMS ACRP 2004 Start Page and the CMS web site at www.cms.gov/healthplans/acr.

Important ACRP Time Frames

ACRP Download Time Frame

The CY 2004 ACR and PBP will be available for download from the HPMS beginning on **June 6, 2003**. Once the ACR and PBP 2004 software become available, it is recommended that Medicare MCOs install the software as soon as possible in order to ensure that organizations have ample time to ask technical questions and complete data entry prior to the September 8, 2003 data upload deadline.

The ACR/PBP Pre-Upload Validation (APV) tool, used by Medicare MCOs to validate the ACR and PBP data prior to upload, will be available for download from the HPMS beginning on **July 1, 2003**.

ACRP Upload Time Frame

The HPMS ACRP 2004 upload functionality will be available beginning on **August 1, 2003**. Medicare MCOs will be able to upload 2004 ACRP submissions through **September 8, 2003**. While the HPMS will continue to accept data uploads after September 8, 2003, CMS reserves the right to consider initial 2004 ACRP uploads received after this date as late submissions. CMS encourages Medicare MCOs to submit ACRPs as soon as possible after August 1, 2003.

ACRP 2004 Plan Type Requirements

Medicare MCO plan types are displayed in the PBP 2004 based on the type of organization specified in CMS's PICS system. **Table 1** provides the HPMS plan types along with the following ACRP edit validation rules:

- What are the plan types associated with each organization (contract) type?
- Is the plan type required to submit a PBP 2004?
- Is the plan type required to generate a Summary of Benefits (SB)?
- Is the plan type required to submit an ACR 2004?

- Are the data submitted for this plan type required to go through the ACRP desk review process?
- Will the data submitted for this plan type be displayed on Medicare Personal Plan Finder?

Table 1

ORGANIZATION TYPE	PLAN TYPE	REQUIRES PBP	REQUIRES SB*	REQUIRES ACR	WRITE-OFF TO DESK REVIEW	MPPF
CCP						
	HMO	Yes	Yes	Yes	Yes	Yes
	HMOPOS	Yes	Yes	Yes	Yes	Yes
	CCOTH	N/A	N/A	N/A	N/A	N/A
	PPO	Yes	Yes	Yes	Yes	Yes
	PSO (State License)	Yes	Yes	Yes	Yes	Yes
	PSO (Federal Waiver of State License)	Yes	Yes	Yes	Yes	Yes
MSA	MSA	N/A	N/A	N/A	N/A	N/A
RFB	RFB	N/A	N/A	N/A	N/A	N/A
PFFS	PFFS	Yes	Yes	Yes	Yes	Yes
Demo						
	SHMO	Yes	Yes	Yes	Yes	Yes
	TriCare	N/A	N/A	N/A	N/A	N/A
	PACE	N/A	N/A	N/A	N/A	N/A
	CHOICES (retired)	N/A	N/A	N/A	N/A	N/A
	Evercare	Yes	Yes	Yes	Yes	No
	Competitive Pricing	N/A	N/A	N/A	N/A	N/A
	ORDI	No**	No	Yes	No	No
	Other	N/A	N/A	N/A	N/A	N/A
	Employer-Only Demo	Yes	No	Yes	Yes	No
	HMO Alternative Pay Demo	Yes	Yes	Yes	Yes	Yes
	HMOPOS Alternative Pay Demo	Yes	Yes	Yes	Yes	Yes
	PPO Alternative Pay Demo	Yes	Yes	Yes	Yes	Yes
	PFFS Alternative Pay Demo	Yes	Yes	Yes	Yes	Yes
	PPO Demo	Yes	Yes	No	Yes	Yes
	Capitated Disease Management Demo	Yes	Yes	No	Yes	Yes
1876 Cost	1876 Cost	Yes***	Yes	No	Yes	Yes
HCPP	HCPP	N/A	N/A	N/A	N/A	N/A
National PACE	National PACE	N/A	N/A	N/A	N/A	N/A

* Please note that if the SB column is "Yes" but the plan is an employer-only plan, then the SB is not required.

** ORDI demonstrations submit an ACR, but not a PBP. These MCO users will define and build plans and download the PBP 2004 and ACR software tools in the same manner as other plan types who are required to submit both an ACR and a PBP 2004. They will also follow the same set of upload instructions. However, these MCO users will only be required to complete Section A of the PBP.

*** 1876 Cost contracts may voluntarily submit a PBP in order to include their plan benefits on Medicare Personal Plan Finder. They will not complete an ACR. These MCO users will define and build plans and download the PBP 2004 and ACR software tools in the same manner as other plan types who are required to submit both an ACR and a PBP 2004. They will also follow the same set of upload instructions. Please note that 1876 Cost contracts **will** be required to submit a token ACR in order to upload their PBP 2004 data to CMS, but these plans will <u>not</u> be required to complete any data fields on the ACR.

Those plan types that do not submit either an ACR or PBP will <u>not</u> be accepted by the HPMS for CY 2004. The HPMS will use the rules defined in **Table 1** to apply validation edits at upload.

HPMS Service Area Designation

Prior to downloading the ACR and PBP 2004 software, a service area must be designated for each plan that will be offered by a Medicare MCO (or H Number). The master list of counties available for individual plan-level service area designation is based on the approved contract-level service area for your H Number that is maintained in PICS as well as any pending service area expansion counties. All counties in your approved contracted service area must be assigned to at least one plan.

Beginning in CY 2003, Medicare MCOs may create employer-only plans. If you add an employer-only plan, the counties available for plan-level service area designation will be based on both the counties that comprise your contract-level service area and any employer-only counties that you have identified to CMS. Employer-only counties will be denoted by "[Emp-only]". If you wish to offer an employer-only plan in a county that does not appear in the list of counties for your H Number, please contact your CMS Central Office Plan Manager no later than 30 days in advance of uploading the plan. These counties will first need to be added to PICS prior to becoming available in HPMS for plan-level designation.

You will access the ACRP 2004 download interface in HPMS, designate the number of plans your organization is proposing for CY 2004, and designate the state and counties (or partial counties) for those plans. After downloading this plan-specific information, the PBP 2004 software will then contain the service area information for each plan consistent with what was identified in HPMS using the Edit Plan-Specific Information function.

Assignment of Plan IDs

PBP 2004 Plan IDs

CY 2003 plan information (Plan IDs and county allocations) will serve as the starting point for Medicare MCOs as they define what they want to offer in CY 2004. The updated 2004 plan information will then be populated to the PBP as part of the Edit Plan-Specific Information and

Download Plan-Specific Information functions of the HPMS. When the MCO user downloads their Plan-Specific Information, the PBP will contain the contract/plan information as it stands when the user decided to download.

MCO users will only be able to change the plan information for CY 2004 by making adjustments through the Edit Plan-Specific Information function of the HPMS. This function will allow the user to adjust counties associated with an existing plan or to delete an existing plan. It will also allow the user to add new CY 2004 plans that were not part of the CY 2003 plan database.

Use of Plan IDs

Plan IDs are used for both internal CMS purposes and external display purposes. Plan IDs are necessary because they establish a logical naming and storage convention for the HPMS database repository. In addition, the unique Plan IDs will be used for HPMS reports that are generated for internal CMS staff conducting analysis and review of MCO marketing materials. Plan IDs will also be used to differentiate plans within a MCO when displaying the Medicare Personal Plan Finder data on the www.medicare.gov.

DOWNLOAD INSTRUCTIONS

The ACRP download function is comprised of four main components. Medicare MCOs are required to complete each component in order to download the ACR and PBP 2004 software successfully. These components include the following: (1) the download and installation of the PBP data entry software; (2) the editing of plan-specific information; (3) the editing of general organization, plan, and contact information; and (4) the download of the plan-specific information to the PBP software.

PBP Download and Installation

This download contains only the PBP software, not any plan-specific information. Because the PBP software is approximately 16 MB, it is strongly recommended that only one user within an organization perform this download and then distribute the software locally to other users within the organization.

PBP Download

To download the PBP software, Medicare MCOs must follow these steps:

Step 1: Log onto the HPMS.

Step 2: On the HPMS home page, select **ACRP** and then select **ACRP Submissions** from the flyout menu.

Step 3: On the Select a Contract Year page, select **ACR/PBP 2004**.

Step 4: On the ACR/PBP 2004 Start Page, select **Step 1: Download the PBP Data Entry Software**.

Step 5: On the Download PBP Data Entry Software page, it is highly recommended that Medicare MCOs read the instructions before initiating the download process. After reviewing the instructions, click on the **Download** button.

Step 6: The PBP setup module is named **SETUPPBP2004.EXE**. Do not change this default file name. When prompted, select a temporary directory (e.g., C:\temp) and save the file.

NOTE: The download file is quite large and may require a significant amount of time to download. For a 56K modem, the download should be completed in about one hour. To minimize any inconvenience, it is recommended that the download be performed during "off-peak" office hours. If this is not possible, you can still use your computer for other activities while the download is being performed. Some users, however, may experience a small degradation in the PC's performance. In addition, you may want to record this directory and file name as a reminder before proceeding to the next step.

Step 7: Once the download is complete, click on the **Back** button to return to the ACR/PBP 2004 Start Page. Select **Step 2: Installation and Uninstallation Instructions** and review the instructions before proceeding The PBP installation instructions are also described in Chapter 2 of this manual, and the uninstallation instructions are described in Chapter 8. Please note that you must install the PBP software before you can download your plan-specific information.

Edit Plan-Specific Information

This component enables Medicare MCOs to edit their plan-specific information by modifying existing plans, adding new plans, and deleting plans.

Beginning with CY 2003, Medicare MCOs may now create employer-only plans. All plans created by Employer-Only Demonstrations will be considered employer-only plans. All other plan types, with the exception of 1876 Cost, may also create employer-only plans. See Step 10 below for instructions on creating an employer-only plan. Employer-only counties will be denoted by "[Emp-only]" and are only available to employer-only plans. Employer-only plans may contain both employer-only counties and regular contract-level service area counties.

Step 1: On the ACR/PBP 2004 Start Page, select **Step 3: Edit your plan-specific information**. You will now be on the **Edit Plan-Specific Information** page.

Step 2: From the list provided, highlight an H Number assigned to your HITS ID for the plans that you wish to designate.

NOTE: If an H Number for which you are responsible does not appear on your assigned H Number list, please contact Neetu Jhagwani (410-786-2548 or NJhagwani@cms.hhs.gov) or Don Freeburger (410-786-4586 or DFreeburger@cms.hhs.gov).

Step 3: Select the **Next** button to go to the **Create/Select a Plan** page.

NOTE: The Create/Select a Plan page contains a list of all plans that were assigned to your H Number and submitted for CY 2003. For each plan, the user who was the owner of that plan in CY 2003 is shown in parentheses.

Step 4: To assume ownership of a plan for CY 2004, highlight the plan in the **Select a Plan** list, select the **Edit/View an Existing Plan's Service Area** option in the **Select an Action** list box, and select the Next button. You will now be on the **Accept Plan Ownership** page. This page displays the current owner of the plan along with other plan information. On the **Accept Plan Ownership** page, you will be asked if you want to reassign the plan to your User ID. Once the plan has been reassigned to you, you become the owner of the plan and other users will only be able to view the service area information for the plan. Select the **Next** button to assume ownership of the selected plan.

NOTE: The reassignment of a plan from one user to another only occurs the first time the user elects to access the Edit/View an Existing Plan's Service Area option. In addition, the reassignment of a plan from one user to another may be done only once for each plan.

Step 5: Once the plan has been assigned to you, you will be asked to edit the service area for that plan. The **Edit Plan Service Area** page contains the list of counties currently allocated to that plan. To change the service area for that plan, you may keep, add, or remove counties based on the service area available for that H Number in the box on the left side of the page.

You may **add** counties to the Plan Service Areas column as follows:

- Highlight one county at a time and click on **Add** after each county is selected.
- Highlight multiple counties at one time by holding the control <Ctrl> key down while simultaneously highlighting (selecting) the counties in the list that apply. After all appropriate counties are highlighted, release the <Ctrl> key and click on **Add**.
- Click on the **Add All** button to add all the counties available for that H Number.

Likewise, you may **remove** counties from the Plan Service Areas column as follows:

- Highlight one county at a time and click on **Remove** after each county is selected.
- Highlight multiple counties at one time by holding the control <Ctrl> key down while simultaneously highlighting (selecting) the counties in the list that apply. After all appropriate counties are highlighted, release the <Ctrl> key and click on **Remove**.
- Click on the **Remove All** button to remove all the counties available for that H Number.

NOTE: Partial counties are denoted with an asterisk, pending service area expansion counties are denoted by [pending], and employer-only counties are denoted by [Emp-only].

Step 6: Select a Plan Type from the available list. The list of plan types that is displayed is based on the plan types associated with your contract type as designated in PICS.

Step 7: Enter or confirm the Plan Name, the Spanish Plan Name (if applicable), and the Plan Geographic Name for this plan. The HPMS provides CMS guidance on defining the Plan Geographic Name.

Step 8: Select **Next** to complete defining that plan. You will be taken back to the **Create/Select a Plan** page.

Step 9: To edit a plan's Service Area, change the Plan Type (e.g., HMO and HMOPOS), and/or rename the Plan Name, the Spanish Plan Name, and Plan Geographic Name, highlight the plan on the **Create/Select a Plan** page and select **Edit/View an Existing Plan's Service Area** option in the **Select an Action** list box.

Step 10: To add a plan, on the **Create/Select a Plan** page, select the **Add a New Plan** option in the **Select an Action** list box and click on **Next** to go to the **Edit the Service Area** page.

To add an employer-only plan, on the **Create/Select a Plan page**, select the **Add a New Employer-Only Plan** option in the **Select an Action** list box and click on **Next** to go to the **Edit the Service Area** page.

NOTE: You will be asked to enter a proposed effective date for your employer-only plans. Plans with an effective date of January 1, 2004 will be considered renewal plans and will need to be uploaded along with all of your other CY 2004 renewal plans. Plans with a proposed effective date after January 1, 2004 will be considered a new mid-year plan and can be submitted for review at a later time. The proposed effective date will be reviewed and approved as part of the ACRP review and approval process.

Step 11: On the **Edit the Service Area** page, follow the instructions above in Step 5 to edit the plan's service area.

Step 12: To delete a plan, on the **Create/Select a Plan** page, highlight a plan from the Select a Plan list and select the **Delete a Plan** option in the **Select an Action** list box and click on **Next**. You will receive a message asking you to confirm that you want to delete the highlighted plan. Click **OK** to delete the plan.

NOTE: You may not delete a plan that you do not own.

Repeat the steps above for all plans that you are designating under your assigned H Number.

Edit General Organization, Plan, and Contact Information

The General MCO Information component of HPMS is comprised of three parts: (1) organization information, (2) plan information, and (3) contact information. Medicare MCOs will be required to enter, or in some cases, confirm the information in these three components as part of the ACRP 2004 download process.

Organization Information

For CY 2004, all of the data maintained in the organization information component will be pre-populated with existing CY 2003 data. Medicare MCO users will be required to confirm this information. In addition, there are three new questions regarding physician web site lists that have to be answered. **Note that these questions are not asked of Cost or PFFS plans.** The HPMS provides CMS guidance on defining the Organization Geographic Name and Organization Marketing Name.

To edit organization information, Medicare MCOs must follow these steps:

Step 1: On the ACR/PBP 2004 Start Page, select **Step 4: Edit your general organization, plan, and contact information**.

NOTE: Medicare MCOs can also navigate to the organization information by selecting **MCO Contracts > General MCO Information > Contract Year 2004** on the HPMS home page.

Step 2: On the General MCO Information Start Page, select **Organization Information** under the Contract Year 2004 header.

Step 3: Highlight an H Number and select the **Next** button.

Step 4: Enter or confirm the organization information and provide responses to the physician web site list questions. The HPMS provides CMS guidance on defining the Organization Geographic Name and the Organization Marketing Name. Click on **Change** to update your organization information. Click on **Back** if you have no changes.

Step 5: Repeat as necessary for each of your assigned H Numbers.

Plan Information

For CY 2004, all of the data maintained in the plan information component will be pre-populated with existing CY 2003 data. MCO users will be asked to confirm or change their Plan Name, Plan Geographic Name, and Spanish Plan Name. In addition, there is a new question regarding the size of the physician network for each plan. **Note that this question is not asked of Cost or PFFS plans.** The HPMS provides CMS guidance on defining the Plan Geographic Name.

The major purpose of the plan information component is to collect information for Medicare Personal Plan Finder on www.medicare.gov and the *Medicare & You Handbook*. We have also provided the Customer Service contact information for both current and prospective members that will be displayed on Medicare Personal Plan Finder and in the handbook at the top of the Plan Information page. Please review this contact information, as it will be made available to the general population as a contact person for Medicare beneficiaries with questions about your plan offerings.

To edit plan information, Medicare MCOs must follow these steps:

Step 1: On the ACR/PBP 2004 Start Page, select **Step 4: Edit your general organization, plan, and contact information**.

NOTE: Medicare MCOs can also navigate to the organization information by selecting **MCO Contracts > General MCO Information > Contract Year 2004** on the HPMS home page.

Step 2: On the General MCO Information Start Page, select **Plan Information** under the Contract Year 2004 header.

Step 3: Highlight an H Number and select the **Next** button.

Step 4: Highlight a plan and select the **Submit** button.

Step 5: Enter or confirm the plan information. Click on **Change** to update your plan information. Click on **Back** if you have no changes.

Step 6: Repeat as necessary for each of your assigned H Number and Plan ID combinations.

Contact Information

Contact information data will be pre-populated with existing CY 2003 data. Medicare MCOs should confirm this data to ensure that it is accurate and current. Four new roles have been added for CY 2004. Contact information for these roles will have to be completed. **Note that the Customer Service Contact for Prospective Members has been pre-populated with the Medicare Health Plan Compare Customer Service Contact for CY 2003.** The following is a list of all roles and their collection levels. New roles are identified by a "* New *".

MCO CONTACT ROLES	COLLECTION LEVEL
Chief Executive Officer (CEO)	H Number
Chief Financial Officer (CFO)	H Number
Medicare Compliance Officer	H Number
ACRP Primary Contact	H Number
ACR Audit Contact	H Number
ACR Audit Site Contact	H Number
Enrollment/Disenrollment Contact	H Number
Medicare Coordinator	H Number
Systems Contact	H Number
Customer Service Contact	H Number
General Contact	H Number
Appeals/Grievances Contact	H Number
Quality Contact	H Number
PIP Contact	H Number
User Access Contact * New *	H Number
Backup User Access Contact * New *	H Number
Customer Service Contact for Current Members * New *	Plan
Customer Service Contact for Prospective Members * New *	Plan
ACR Contact	Plan
PBP Contact	Plan
Vice President of Marketing	Plan

Medicare MCOs can view the role, definition, level at which the role is collected (i.e., H Number or Plan), and whether or not the contact is required for download by clicking on the **role definition** link on the **Contact Information** page.

Medicare MCOs will be prohibited from downloading their plan-specific information until all required organization, plan, and contact information has been completed. *If you would like to view the specific roles which have not been assigned to a contact for the H Number(s)/Plan(s) in question, select the **unassigned roles ordered by H Number/Plan** link on the **Contact Information** page.*

The following data will be collected by the contact information component for CY 2004:

- Prefix (Mr., Mrs., Miss, Ms., Dr.) - optional
- First Name - required
- Middle Initial - optional
- Last Name - required
- Title - optional
- Street Address 1 - required
- Street Address 2 - optional
- City, State, Zip Code - required
- Phone Number - required
- TTY/TDD Phone Number - optional
- Fax Number - optional
- E-mail Address – **now required for 2004**

To edit contact information, Medicare MCOs must follow these steps:

Step 1: On the ACR/PBP 2004 Start Page, select **Step 4: Edit your general organization, plan, and contact information**.

NOTE: Medicare MCOs can also navigate to the organization information by selecting **MCO Contracts > General MCO Information > Contract Year 2004** on the HPMS home page.

Step 2: On the General MCO Information Start Page, select Contact Information under the Contract Year 2004 header.

Step 3: To add a new contact person, select the **Add** button in the final row of the Contacts section. Enter the contact information and select the **Next** button. Highlight the contact person's role and select the **Next** button. Highlight the corresponding H Numbers and plans for that contact person's role. If you want to add another role to this contact person, select the **Next Role** button (the Next Role button will only be present when there are additional roles available for assignment to the contact). If you have completed the role assignments for this contact person, select the **Submit** button.

NOTE: Deleting a contact person will remove its association with all roles and H Numbers and plans. For plan-level contacts, if "All plans" is selected for an associated H Number, then any new plans created for that H Number would automatically be associated with that contact.

Step 4: To edit or delete an existing contact person, select the **Edit** button in the Contacts section of the appropriate table row. To edit the contact person, modify the contact information and select the **Submit** button. To delete the contact person, select the **Delete** button.

Step 5: To assign a new role to an existing contact, select the **Add** button in the Assigned Role(s) section for the appropriate contact. Highlight the contact person's role and select the **Next** button. Highlight the corresponding H Numbers and plans for that contact person's role. If you want to add another role to this contact person, select the **Next Role** button. If you have completed the role assignments for this contact person, select the **Submit** button.

Step 6: To delete a contact's existing role and remove its association with H Numbers and plans, select the corresponding role radio button and click on the **Delete** button in the Assigned Role(s) section for the appropriate contact.

Step 7: To edit the H Numbers and plans assigned to an existing role, select the corresponding role radio button and click on the **Edit** button in the H Number(s) - Plan(s) section for the appropriate contact. Highlight the corresponding H Numbers and plans for that contact person's role and select the **Submit** button. You may highlight multiple H Numbers/Plans by holding the control <Ctrl> key down while simultaneously highlighting (selecting) the H Numbers/Plans in the list that apply.

NOTE: The H Numbers and plans already associated with this role will be highlighted in the Select H Numbers/Plan(s) list box. To add an H Number or plan to this role without losing those previously assigned, hold the control <Ctrl> key down while simultaneously highlighting (selecting) the additional H Numbers/Plans in the list that apply.

Download Plan-Specific Information

The download of plan-specific information comprises the final component of the ACRP 2004 download process. This final download component populates the PBP 2004 software with the edited plan/service area information provided in the previous components.

Step 1: On the ACR/PBP 2004 Start Page, select **Download Plan-Specific Information**.

NOTE: At the top of the **Download Plan-Specific Information** page you may see a warning stating that one or more counties in your contracted service area are not currently assigned to a plan. Prior to forwarding your ACR/PBP data for full desk review and CMS approval, all unassigned counties must be either assigned or confirmed as a service area reduction or as a problem with PICS. In addition to an unassigned county warning, you may also see warnings for other incomplete information (e.g., incomplete organization, plan, and/or contact information). The warning messages will provide instructions as to how to complete the missing information.

Step 2: Click on the **Download** button to begin downloading your plan-specific information. Before you proceed with the download, you will be shown a reminder to review your contact information seeded from CY 2003 and a warning that the download may take a long time to process depending upon the number of plans that you are attempting to download. If you have already reviewed your contact information, select **OK** to continue the download.

Step 3: The name of the ACR/PBP 2004 setup module that you will be saving to disk is called **UPDATPBP2004.ZIP**. When prompted, save the **UPDATPBP2004.ZIP** file. You must select the same directory where you previously installed your PBP data entry software. Do not change the default file name **UPDATPBP2004.ZIP**. In the **Save as** dialog box, designate the same directory and click **OK**.

Step 4: Upon opening the PBP for the first time following the download of your organization's plan-specific information, the PBP software will generate an ACR spreadsheet for each plan you have defined.

If you have completed all of the above components of the ACR/PBP 2004 download, then you are ready to begin using the PBP data entry software. Upon entering the PBP Management Screen, you should verify that your plan and service area information is accurate before proceeding with data entry. If your plan and service area information is not accurate, see the section "Edit Plan Specific Information" earlier in this chapter for the steps required to update your plan and service area information.